



DOE Order 413.3A

Program and Project Management for the Acquisition of Capital Assets

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Why Update DOE O 413.3?

- Integrate Safety into Design and Construction
- Restructure Existing Order
 - Organize by Phases and Critical Decisions
 - Clarify Requirements Related to each CD
- Eliminate Conflict Between Order and Manual
- Enhance Roles and Responsibilities

Status

- All Comments/Recommendations Dispositioned
- Concurrences Received From All Programs
- Testified to DNFSB on Revision
- **Deputy Secretary Approved DOE O 413.3A on July 28, 2006**

Significant Changes

- Applicability
 - Applicable to capital asset acquisition projects having a TPC \geq \$20M
 - Sound project management principles and PARS reporting requirements apply to all projects with a TPC \geq \$5M

Significant Changes (cont.)

- CD Thresholds and Authorities
 - The Under Secretaries have been included in the CD process.
 - CD authority thresholds have been increased to ensure line management accountability:
 - MS Projects. Projects with a TPC \geq \$750M
 - Non-MS Projects. Projects with a TPC $<$ \$750M
 - Environmental Management Clean-up Project CD Authority Thresholds are provided.
 - Departmental-wide IT Project CD Authority Thresholds are provided.

Significant Changes (cont.)

- Integrating Safety into Design and Construction
 - Integration of safety into design and construction has been clarified and strengthened, particularly for Hazard Category 1, 2, and 3 nuclear facilities.
 - Safety requirements for each CD have been identified.
 - A Technical Independent Project Review, which focuses on safety documentation, was added as part of the CD-1 Design Review for high-risk, high-hazard, and Hazard Category 1, 2, and 3 nuclear facilities.

Safety

- DOE O 413.3A Now Identifies the Safety Requirements for Each CD
- ES&H Will Publish DOE-STD-1189-2006 to Provide Implementation Guidance for Nuclear Facility Requirements
- The Order Allows Delayed Implementation of the Safety Requirements Until Six Months After Issuance of the Standard

Safety Requirements for CDs

(for Hazard Categories 1, 2, and 3 Nuclear Facilities)

- CD-1
 - Conceptual Safety Design Report
 - Preliminary Identification of Facility Design Basis Accidents
 - Assessment of Safety Class and Safety Signification Structures, Systems, and Components
 - Preliminary Assessment of the Appropriate Seismic Design Category of the Facility SSCs
 - Security Hazard Evaluation
 - Commitment to the Nuclear-Safety Design Criteria of DOE O 420.1, Facility Safety

Safety Requirements for CDs

(for Hazard Categories 1, 2, and 3 Nuclear Facilities)

- CD-2
 - Preliminary Safety Design Report (Update of Conceptual Safety Design Report)
- CD-3
 - Preliminary Documented Safety Analysis in Accordance with Requirements of 10 CFR 830.206
 - Updated Preliminary Safety Design Report
 - Safety Evaluation Report
- CD-4
 - Documented Safety Analysis and Technical Safety Requirements Document, both of which must Comply with 10 CFR 830
 - Safety Evaluation Report

Other Improvements

- IT Project Requirements are Now Included.
- The Mission Need Statement review and recommendation by PA&E is limited to projects with a $TPC \geq \$100M$.
- External Independent Reviews
 - External Independent Reviews by OECM are limited to projects with a TPC greater than or equal to \$100M.
 - For projects $< \$100M$, Programs are responsible for this requirement, including CD-2 Performance Baseline Validation.
- The Acquisition Strategy review and recommendation by OECM is limited to MS Projects.

Other Improvements (cont.)

- Earned Value Management Systems (EVMS)
 - Projects having a TPC between \$20M and \$50M must have an EVMS that is self-certified by the contractor as ANSI/EIA-748-A-1998 compliant.
 - Projects having a TPC \geq \$50M require an ANSI/EIA-748-A-1998 compliant EVMS certified by OECM.
- Roles and Responsibilities were updated to include the:
 - Under Secretaries
 - Office of the Chief Information Officer
 - Central Technical Authorities
 - Chief of Defense Nuclear Safety and Chief of Nuclear Safety

Next Steps

- OECD to Begin Revision of Manual
 - Program Offices to Take Lead on Preparing Different Chapters